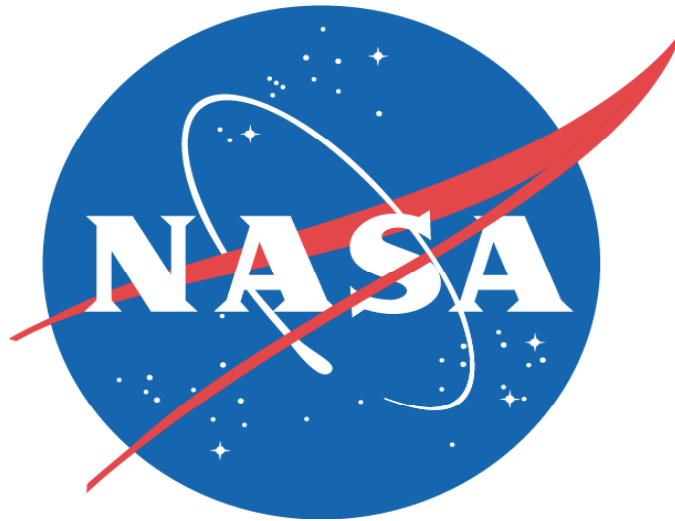


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Subject: Agency Policy Formulation and Approval



Office of Human Resources and Education

Office Work Instruction

Agency Policy Formulation and Approval

Original Approved by: _____

Vicki A. Novak
Associate Administrator
Office of Human Resources and Education

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DOCUMENT HISTORY LOG

Status (Baseline/ Revision/ Canceled)	Document Revision	Effective Date	Description
Baseline		December 10, 1999	

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1. Purpose

The purpose of this HQ OWI is to establish and define the steps to be followed when the Office of Human Resources and Education is required to formulate, coordinate, approve and promulgate Agencywide policy or provide comments on an Agencywide policy action. These steps cover the development and processing of NASA Policy Directives (NPD) and NASA Procedures and Guidelines (NPG) using the NASA On-Line Directives Information System (NODIS). Each division will handle the initial development and involvement with the stakeholders identified based on the subject matter.

The Associate Administrator for the Office of Human Resources and Education is responsible for maintaining this document. The controlled version resides on the World Wide Web (WWW) via the ISO 9000 document library at <http://hqiso9000.hq.nasa.gov>.

2. Scope and Applicability

This OWI covers Agency Policy Formulation and Approval performed in Code F. This office develops agency policy and guidelines for human resources, training and education; and reviews all policies and guidelines which cover human resources, training and education to ensure adherence to any rules or regulations governing these areas. It outlines the steps for Code F personnel who review and provide comments on external policy developed by other organizations, as well as, those who develop and assist in the development of internal policy.

3. Definitions

- 3.1 ADS: Action Document Summary, NASA Form 117 – used by single letter codes to concur on the NODIS (NASA On-line Directive Information System).
- 3.2 Action Cover Sheet: Used by the DM to assign directive and due date to division; and to provide AA concurrence block. Action Cover Sheet is created using a copy of the Email generated by the NODIS to notify DM that a directive is ready for review.
- 3.3 AA: Associate Administrator – an approving official in charge of Code F
- 3.4 Code JM: The designation for the Management Assessment Division, Office of Management Systems. The end processor for agency policy directives.
- 3.5 DM: Directive Manager – the employee within Code F who manages the coordination effort and processes the agency policy directives for review and approval.
- 3.6 Policy Directives: NASA documents that govern the management of the agency that are maintained on NODIS.
- 3.7 DD: Division Director – the individual who can draft/revise internal policy; concur on internal policy to start concurrence cycle; review and/or concur on external policy.
- 3.8 Electronic Document: Any non-paper form of a policy, concurrence forms, comment forms, or notifications. These documents are handled through the NODIS.
- 3.9 Electronic Document Control: The DM authorization to revise documents through the NODIS using an electronic password.
- 3.10 External: Outside of the Originating Office's organization

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- 3.11 Form 184: NASA Directive Request Summary – form used to start the process of creating or updating a directive. This form has all information needed to create the ADS and notify Code JM of start of concurrence cycle.
- 3.12 Internal: Within the Originating Office's organization
- 3.13 NODIS: NASA On-line Directives Information System – a repository of NASA directives, executive orders, and parts of the Code of Federal Regulations. This system is electronic and World Wide Web (WWW) based.
- 3.14 NPD: NASA Policy Directive – describes the “what” required by NASA management to achieve NASA's vision and mission (as depicted in the NASA Strategic Plan).
- 3.15 NPG: NASA Procedures and Guidelines – the detailed instructions and guidelines for implementing NASA policy. They are the “how to” instructions and procedures considered essential for accomplishing the deliverable requirements established by the NPD.
- 3.16 OIC: Official in Charge – Agency approving official.
- 3.17 Originating Office: Original office that has responsibility for a policy directive.
- 3.18 Quality Control Liaison: the person responsible for reviewing the draft documents to ensure that format and grammatical structure conform to the NPG 1400.1, GPO Style Manual and NASA Correspondence Management Standards.
- 3.19 Review Comments Form: Form located in NODIS for Agency DMs to enter comments on external documents and for the originating office to disposition the comments.

4. References

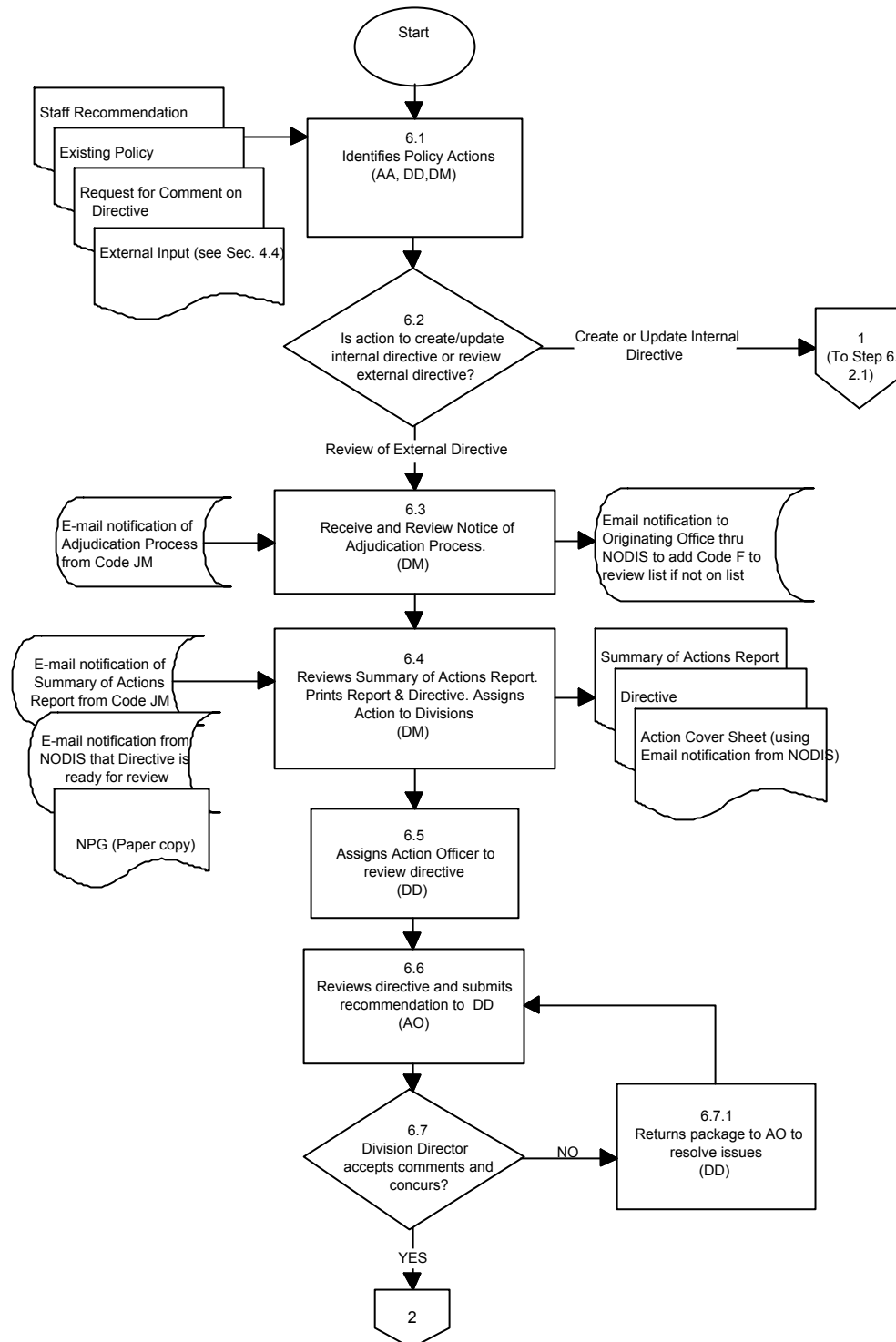
- 4.1 NPD 1400.1 NASA Directives System
- 4.2 NPG 1400.1 NASA Directives System Procedures and Guidelines
- 4.3 NHB 1101.3 NASA Organization Handbook
- 4.4 In addition to, but not limited to Code of Federal Regulations (CFR), US Code, Financial Management Manual (FMM), Public Laws (PL), Executive Orders (EO)

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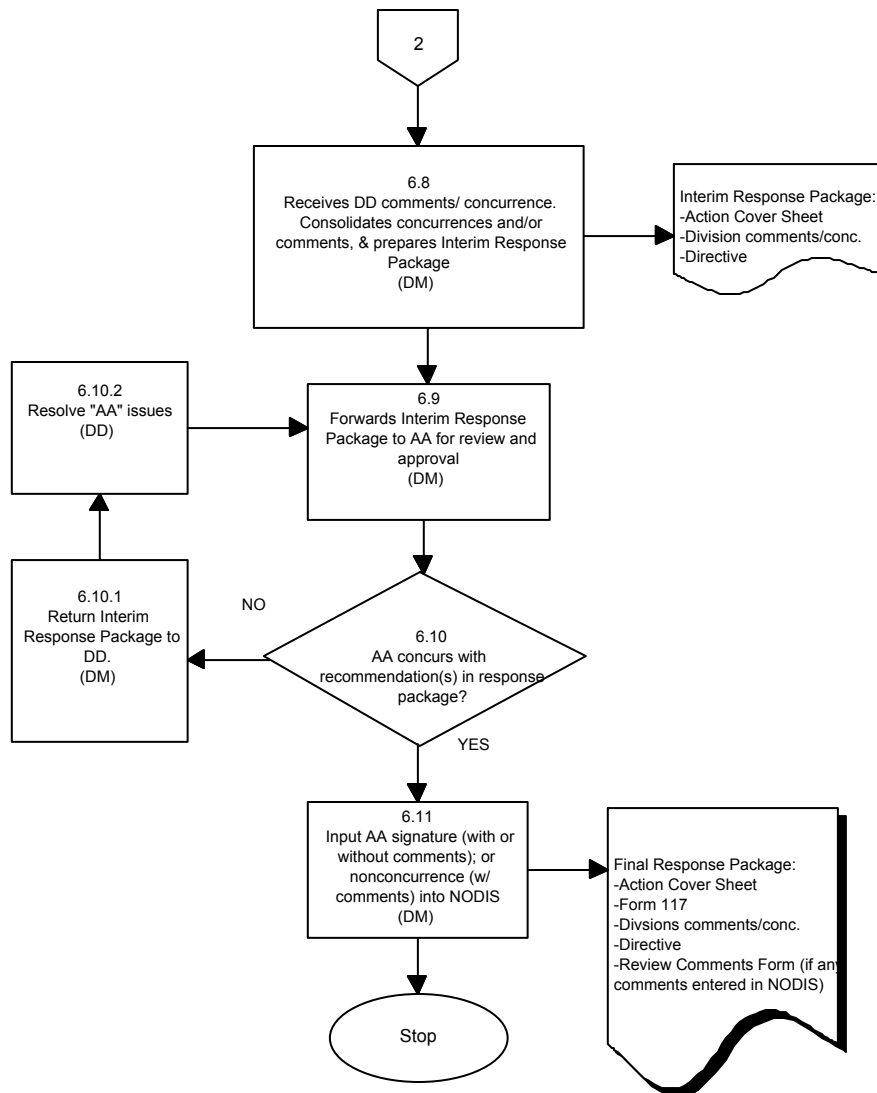
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5. Flowchart -

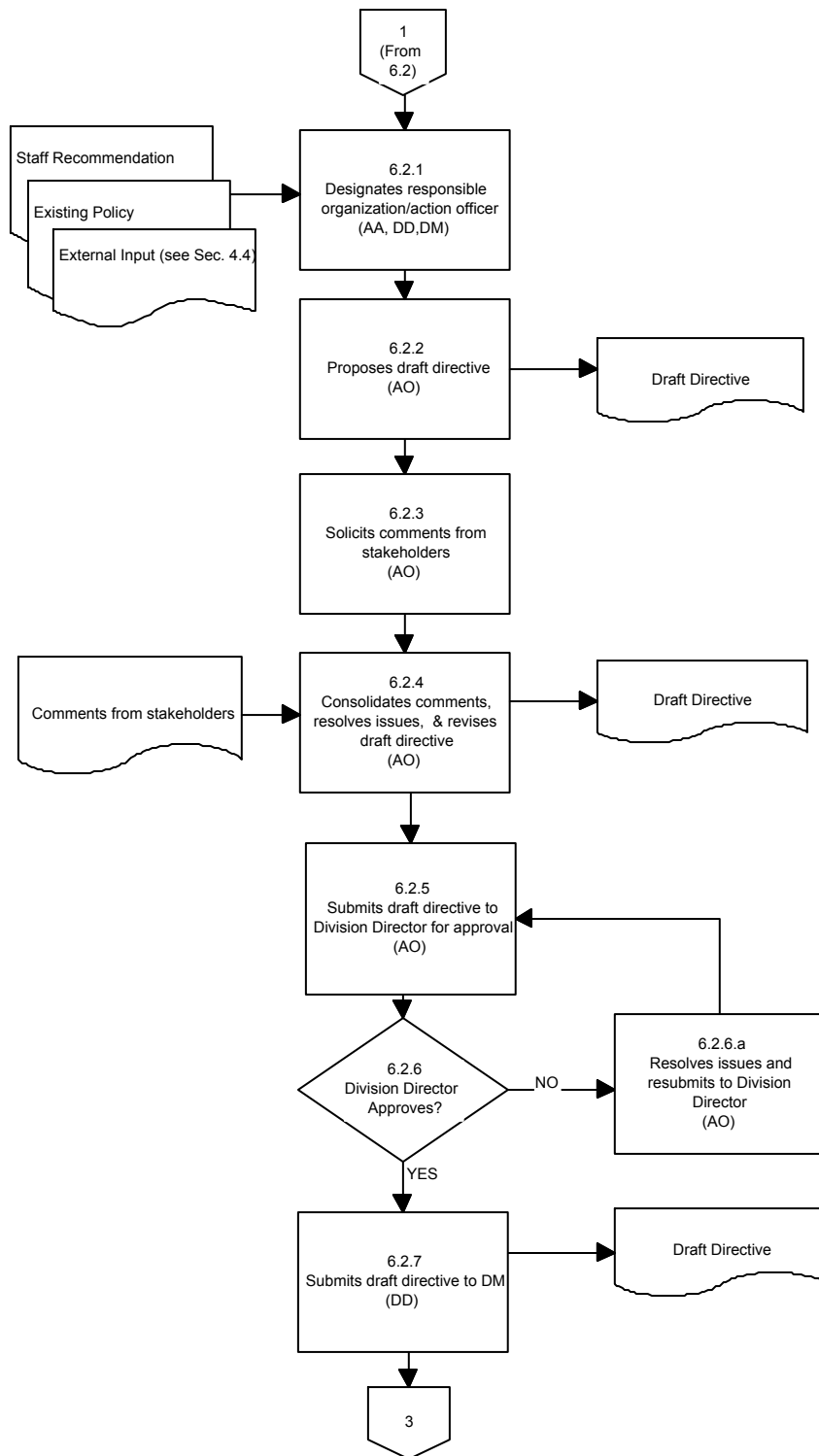
NOTE: Gray shading identified out of scope activities included for clarity and process completeness.



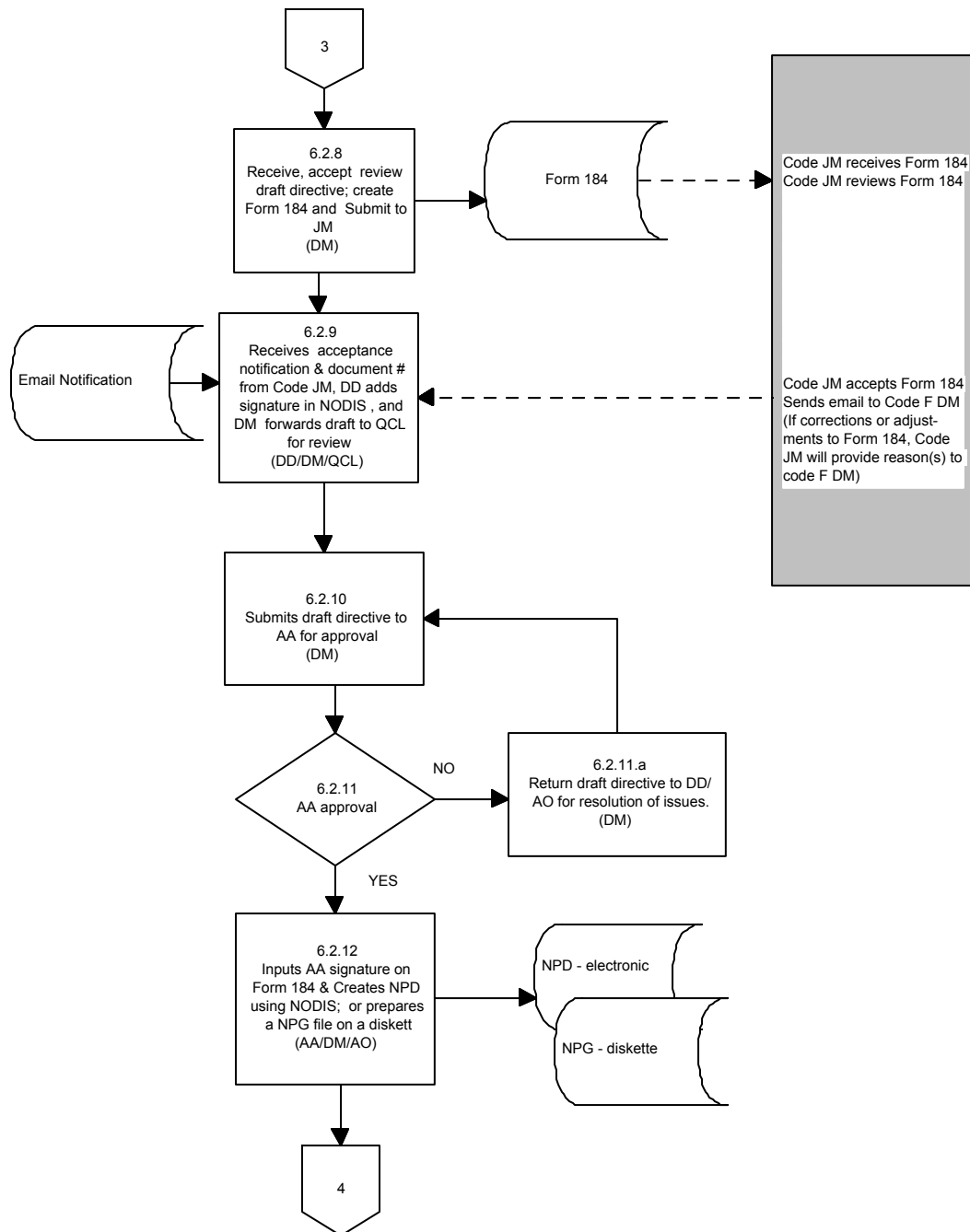
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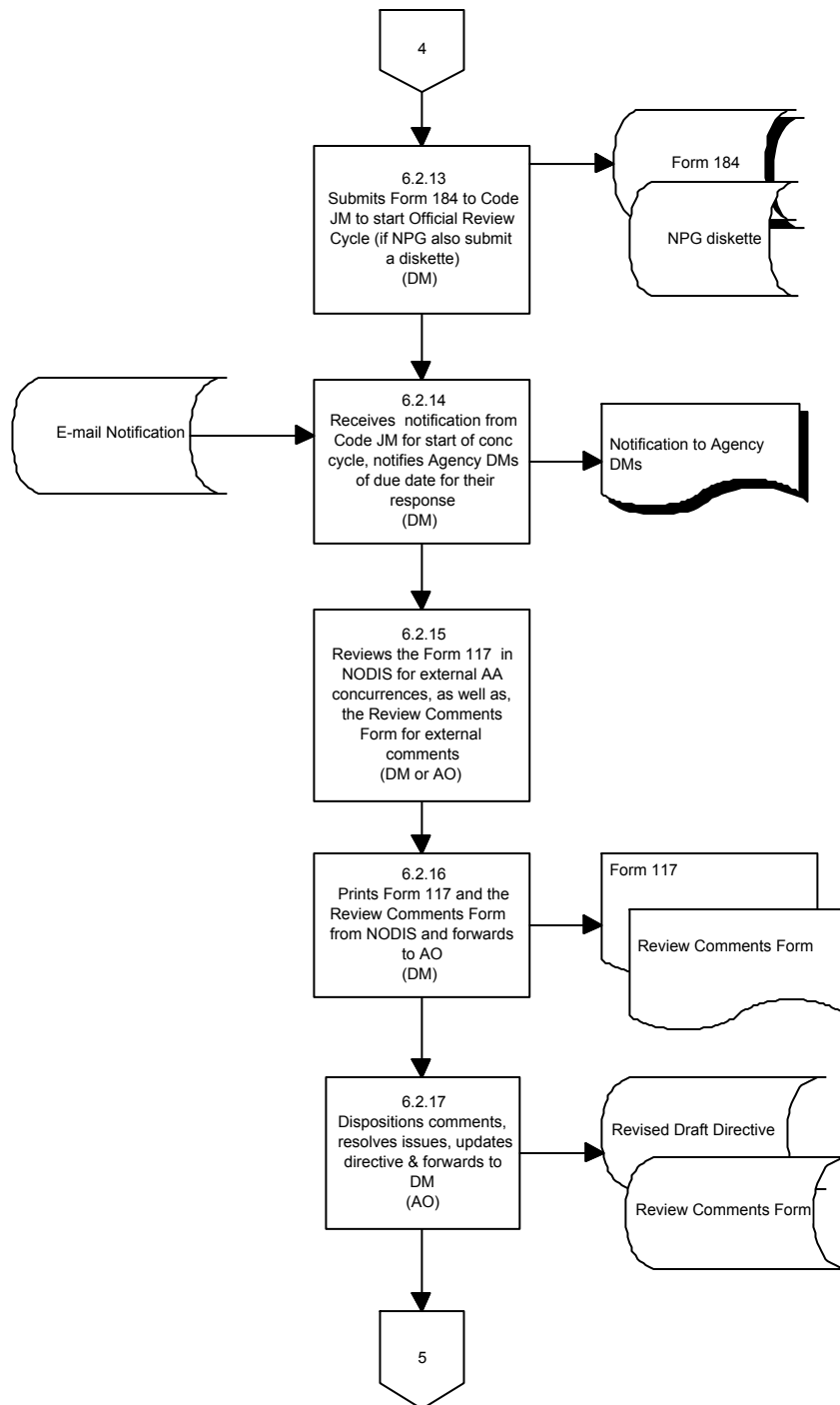
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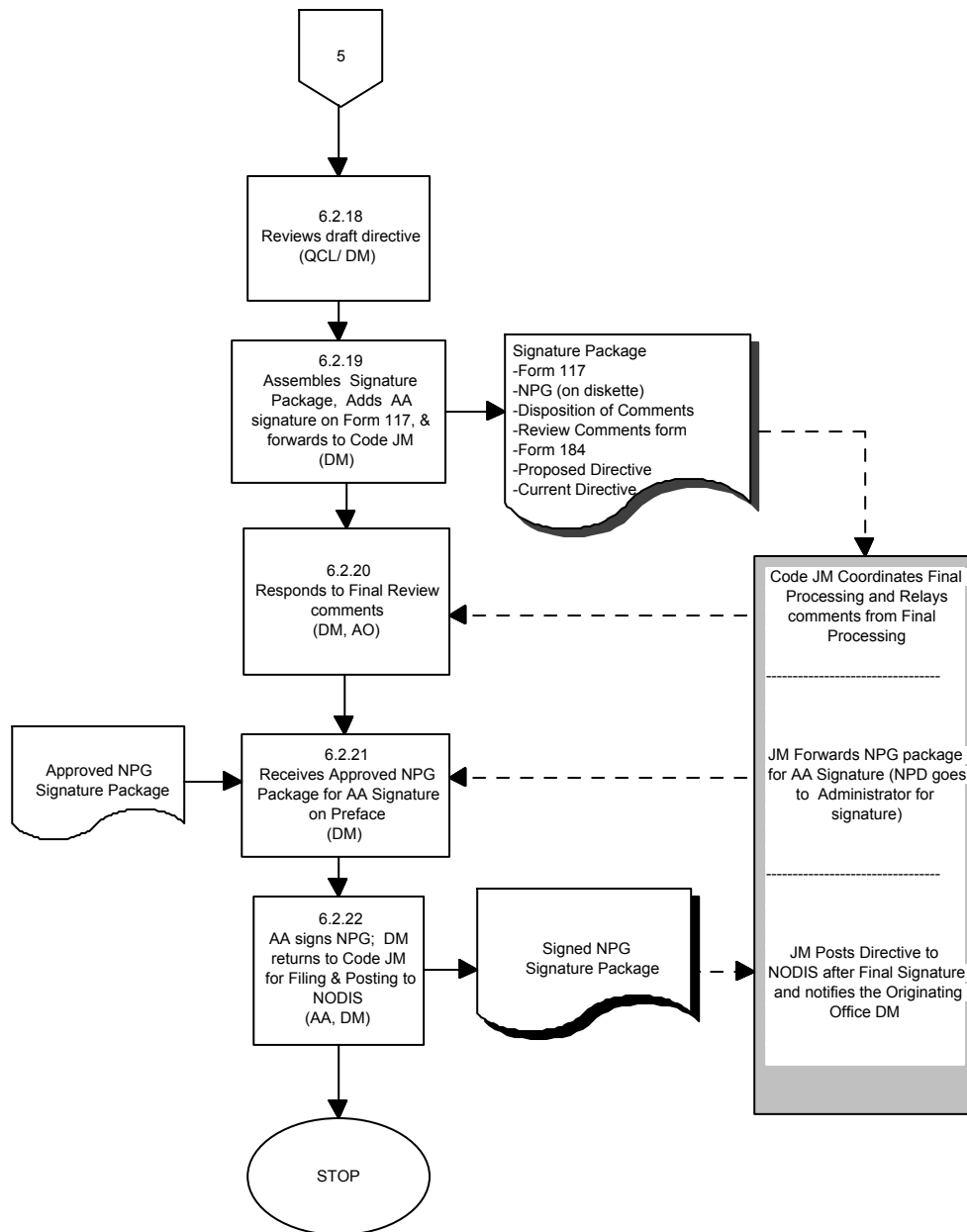
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6. Procedures

<u>Step</u>	<u>Actionee</u>	<u>Action</u>
6.1	AA/DD/DM	<p>Identify a policy action. A potential policy-related action can be identified in response to: any items in References Section 4.4, staff recommendations; a request to develop a new directive, update an existing directive or review a directive from external offices.</p> <p>To review a directive from external offices, the Code F DM is notified via email from NODIS that the monthly Summary of Actions Report is ready for review.</p> <p>For Internal directive, any office within Code F can identify a need to create and/or update a directive. The AA or any Division Director in Code F can receive a document listed in the References Section 4.4 and decide that a formal policy action is required.</p>
6.2		<p>Is the action to Create or Update an internal directive or Review an external directive?</p> <p>If Create or Update an Internal Policy go to Step 6.2.1.</p> <p>If Review of an External Directive go to step 6.3.</p>
6.3	DM	<p>Receives and reviews the e-mail notification from Code JM - Notice of Adjudication Process. The DM is to make sure that Code F is on the list to review. If Code F is not on the list, the DM is to notify the Originating Office to add Code F to the review list. Code F reviews all directives (policies and guidelines) in accordance with NPG 1400.1.</p>
6.4	DM	<p>Receives the e-mail notification from Code JM to review the Summary of Actions Report located on the NODIS. Prints a hard copy of the e-mail notification, the Summary of Actions Report, and the directive (NPD), (an NPG is received through the mail). Creates Action Cover Sheet (using the e-mail notification) with due dates and distributes directive to divisions.</p> <p>Note: DM ensures that due dates are assigned to allow for adequate time for review and to consolidate comments and process the action for concurrence. DM follows status through periodic e-mails to Division Directors. If due date will not be met, the issue is escalated to the AA.</p>
6.5	DD	<p>Receives the directive and assigns an action officer to review the directive.</p>
6.6	AO	<p>Reviews the directive and submits suggested comments and/or recommends concurrence/non concurrence to the DD. The AO's review process is worked internal to each Division. The AO is assigned based on area of expertise.</p>
6.7	DD	<p>Does the DD accept the suggested recommendations?</p> <p>If no go to step 6.7.1. If yes, go to step 6.8.</p>
6.7.1	DD	<p>Identifies issues and returns package to AO to resolve issues. AO resolves issues and resubmits to the DD. Return to Step 6.6.</p>

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| 6.8 | DM | Receives suggested comments and/or concurrence/non-concurrence from DD. Consolidates concurrences and/or suggested comments from the Divisions and prepares an interim response package.

Interim Response Package includes: Action Cover Sheet, Division Comments/Concurrence/Non-concurrence and Directive. |
| 6.9 | DM | Forwards the Interim Response Package to the AA for review and approval. The Action Cover Sheet is used by the AA to initial and annotate approval/non-approval and/or comments. |
| 6.10 | AA | Does the AA concur with the response package? If no, go to step 6.10.1; or if yes, go to step 6.11. |
| 6.10.1 | DM | Returns response package to the DD. |
| 6.10.2 | DD | Resolve AA issues and return to Step 6.8. |
| 6.11 | DM | When the AA concurs by initialing the Action Cover Sheet in the Interim Response Package, the DM will input in NODIS the AA's electronic signature on Form 117 and enter any comments on the NODIS Review Comments Form. If AA non-concurs this will be noted on the Review Comments Form in NODIS. Prints hardcopies of Form 117 with or without AA signature, Review Comments Form with comments if any comments and adds to Interim Response Package to create Final Review Package.
This ends the external review process. |
| 6.2.1 | AA/DD/DM | AA designates responsible organization, DD designates the responsible AO to create and/or update an internal directive. The AO is assigned based on the subject matter of the directive. The DM is involved if the action is to update an existing directive. The DM is notified by NODIS of existing directives which will be expiring and require updating. |
| 6.2.2 | AO | Proposes a draft directive. Action Officer is assigned based on area of expertise. |
| 6.2.3 | AO | Sends draft directive to stakeholders soliciting comments. The AO determines the extent and process for conducting this informal review step based on subject matter and involvement of stakeholders in policy area. The stakeholders are internal and/or external to NASA with an interest in the subject matter of the directive and who the Action Officer requests to review the directive. |
| 6.2.4 | AO | Receives comments from stakeholders, consolidates comments, reviews the comments, accepts or reject any comments, resolves any issues, and revises the draft directive. |
| 6.2.5 | AO | Submits the draft directive to the DD for approval. |
| 6.2.6 | DD | Does the DD approve the directive? If no, go to step 6.2.6.a. If yes, go to step 6.2.7 |

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| 6.2.6.a | AO | Resolve issues and resubmits directive to DD. |
| 6.2.7 | DD | Approves the draft directive and submits the draft directive to the DM. |
| 6.2.8 | DM | Accepts the draft directive; reviews the directive for format completeness in accordance with NPG1400.1 guidelines. Creates a Directive Request Summary (Form 184) electronically in the NODIS and submits to Code JM for review. |
| 6.2.9 | DM/DD/QCL | DM receives an electronic acceptance notification and document number from Code JM. DD adds signature to Form 184. DM forwards the directive to the Quality Control Liaison (QCL). QCL reviews the directive for proper format and grammar usage and returns package to DM who is responsible for making corrections. |
| 6.2.10 | DM | Submits draft directive to AA for approval and processing of Form 184. (AA initials on paper copy of Form 184.) |
| 6.2.11 | AA | Does AA approve draft directive? If no, go to step 6.2.12.a. If yes, go to step 6.2.13. |
| 6.2.11.a | DM | Returns draft directive to DD or AO for resolution of issues. Once issues are resolved, the DD/AO will resubmit the draft directive to the DM for resubmission to the AA for approval. |
| 6.2.12 | DM/DD | DM inputs AA signature on Form 184; AO assisted by the DM will create an NPD using the NODIS or prepare a NPG file on a diskette. |
| 6.3.13 | DM | Submits Form 184 to Code JM to start Official Review Cycle (if NPG also submit a diskette) |
| 6.2.14 | DM | Receives e-mail notification from Code JM for start of Official Review and Concurrence Cycle. Notifies Agency DMs of due date for their response to the Originating Office. Adequate time will be provided to meet Code JM due date. If due date will not be met, issue escalated to AA. DM also sends out a paper copy of the NPG to agency DMs. |
| 6.2.15 | AO/DM | Reviews the Action Document Summary (Form 117) in NODIS for external AA concurrences or non-concurrences, and reviews the Review Comments Form for any external comments. DM will send notification to Agency DMs for late responses. |
| 6.2.16 | DM | Prints the Action Document Summary (Form 117), and the Review Comments Form with external comments from NODIS, and forwards these documents to Action Officer. |
| 6.2.17 | AO | Dispositions comments (on paper, as well as in NODIS), resolves issues, updates directive, and forwards to DM along with a copy of the current directive. |

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| 6.2.18 | DM/QCL | DM draft and other documents from AO; forwards draft to the QCL for final review of directive. The QCL reviews for proper format and correct grammar, and returns to DM who is responsible for making any corrections to directive. |
| 6.2.19 | DM | Assembles the Signature Package, adds AA signature on the Form 117, and forwards the package to Code JM.
Signature Package includes: Form 117, NPG (on diskette), Disposition of Comments, Review Comments Form, Form 184, Proposed Directive, and Current Directive. Code JM is the repository for all original signature packages. |
| 6.2.20 | DM/AO | DM works with AO in responding to final review comments from Code JM. AO will coordinate any substantive comments and changes with the DD. Code JM coordinates the final processing. At this time, Code JM will relay comments for final processing for Codes JM, G, and Administrator's Correspondence Unit. NPD and NPG packages will be corrected and returned to Code JM. |
| 6.2.21 | DM | DM receives approved NPG package for AA signature on the Preface. (NPDs are for the Administrator's signature and are not returned to the originating office). |
| 6.2.22 | AA,DM | AA signs the Preface page of an NPG, the DM will return the signed NPG package to Code JM for final filing and posting to NODIS. JM is the repository for such packages. |

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7. Quality Records

Record Identification	Owner	Location	Record Media: Electronic or Hard Copy	Schedule Number and Item Number (NPG 1441.1)	Retention/Disposition
Final Response Package	DM	Code FM	Hard copy	Schedule 1, Item 12.B.2	Retain 2 Years, then destroy
Form 184	Code JM	NODIS	electronic	Schedule 1, Item 78.C	Destroy or delete when no longer needed.
Notification to Agency DMs	DM	Code FM	Hard copy	Schedule 1, Item 12.B.2	Retain 2 Years, then destroy
Signature Package	Code JM	Code JM	Hard copy	Schedule 1, Item 72 A (1410)	Permanent; retire to FRC 1 year after becoming obsolete or superseded. Transfer to NARA in 5-year blocks when 20 years old.
Final Signature Package	Code JM	Code JM	Hard copy	Schedule 1, Item 72 A (1410)	Permanent; retire to FRC 1 year after becoming obsolete or superseded. Transfer to NARA in 5-year blocks when 20 years old.